

Deliverable Development, Review, Resolve and Approval

CalWIN



RECORD OF CHANGES

[illegible]

CalWIN Project

Deliverable Development, Review, Resolve and Approval Process

Executive Summary

Past large-scale system development projects have experienced difficulties with labor intensive, lengthy, and ineffective deliverable reviews resulting in problems that manifest themselves into schedule slippage and inadequate products. The WCDS CalWIN Management Team and the EDS CalWIN Management Team collaborated using best practices in project management to develop an approach that mitigates these risks. The approach will be referred to as the *CalWIN Deliverable Development, Review, Resolve and Approval Process*.

The CalWIN *Deliverable Development, Review, Resolve and Approval Process* is a collaborative process that is broken down into five phases: Identify County Participants, Develop, Review, Resolve and Approve. To aid in the collaboration a Comments Repository will be set up to collect and display comments, questions, and issues.

Purpose and Scope

The purpose of this document is to provide a formal process for the development, review, resolution and approval of consortium-wide deliverables. For county-specific deliverables (deliverables unique to each county), please refer to the *County-Specific Deliverable Development, Review, Resolve and Approval Process*.

Goals

The goals of this process are as follows:

- Encourage collaboration between all CalWIN Project Team members.
- Verify that the deliverable meets the requirements.
- Ensure all outstanding issues and comments are resolved and incorporated in the final deliverable.
- Attain final deliverable approval.

Value

Effective *Deliverable Development, Review, Resolve and Approval* provides the following value to the Project:

- Participation from the WCDS CalWIN Project Team and County Subject Matter Experts in the development of the deliverable ensures that the *Voice of the Counties* is heard up-front.
- Iterative reviews of the deliverable during development facilitate approval when the final deliverable is submitted.

Applicable Policy, Standards, and References

- *Deliverable Expectation Document Process*
- *Requirements Management Policy*
- *Requirements Management Process*

Description

The *Deliverable Development, Review, Resolve and Approval Process* involves the following activities:

1. Identify County Participants
2. Develop Deliverable
3. Review Deliverable
4. Resolve Deliverable Issues
5. Submit Deliverable for Approval
6. Evaluate and Refine the *Deliverable Development, Review, Resolve and Approval Process*

Inputs

Work Product	Source	Status ¹	Internal/ External ²	Entrance Criteria ³
Deliverable Expectation Document (DED)	CalWIN Project Team	Complete	External	Y

Outputs

Work Product	Recipient	Status ¹	Internal/ External ²	Exit Criteria ³
Comments Report	WCDS CalWIN Project Manager	Complete	External	Y
County Request for Information	County CalWIN Manager	Complete	External	Y
Deliverable	WCDS CalWIN Project Manager	Complete	External	Y
Deliverable Approval Letter	EDS CalWIN Project Manager	Complete	External	Y
Deliverable Non-Approval Letter	EDS CalWIN Project Manager	Conditional	External	N
Deliverable Submittal Letter	WCDS CalWIN Project Manager	Complete	External	Y
Interim Review Feedback	EDS CalWIN Team	Complete	External	Y
Lessons Learned	CalWIN Project Team	Complete	External	Y
Quality Assurance Review Notice	CalWIN Project Team	In Progress	External	N
Review Aids	CalWIN Project Team	Complete	External	Y
Review Criteria	CalWIN Project Team	Complete	External	Y
Reviewer Matrix	CalWIN Management Team	Complete	External	Y
Resolve Procedures	CalWIN Project Team	Complete	External	Y

¹Status indicates the work product is either complete upon entry or exit from the process, or in-progress upon entry or exit from the process.

²Internal/External - Identifies if the work product is used for this process only (Internal) or used by other processes (External).

³An Entrance Criteria of “Y” indicates the work product is required to enter the process. An Exit Criteria of “Y” indicates the work product is required to exit the process.

Roles and Responsibilities

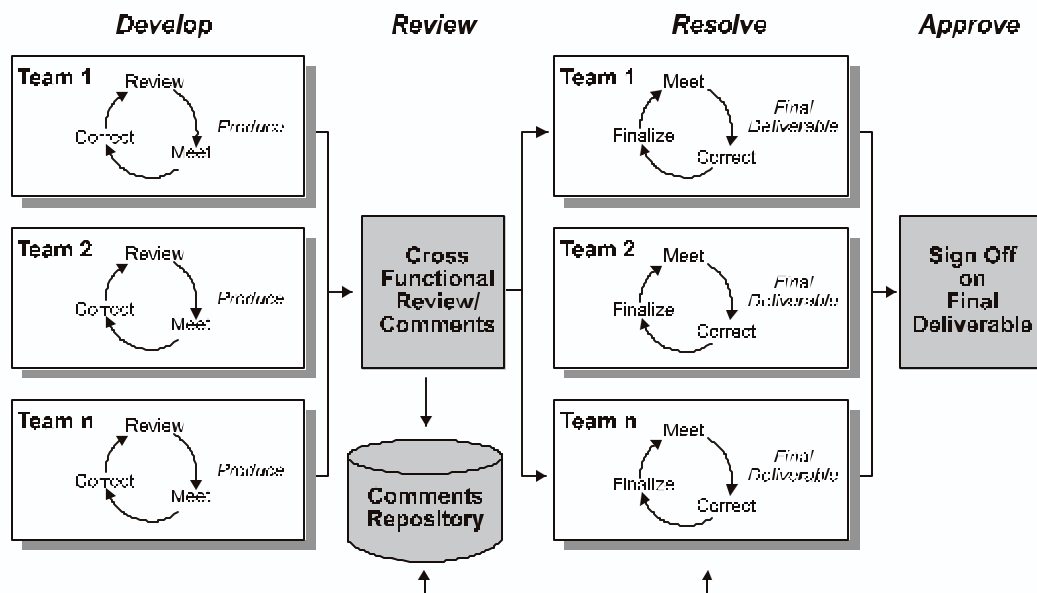
The terms *role* and *agent* are used interchangeably in this process documentation. The agent identified with an asterisk (*) within each of the activity agent listings has the primary responsibility for ensuring the activity is accomplished.

Roles	Responsibilities
County CalWIN Managers	<ul style="list-style-type: none"> Coordinates county participation in the process.
County Subject Matter Experts	<ul style="list-style-type: none"> Reviews and provides input on deliverable.
EDS CalWIN Manager	<ul style="list-style-type: none"> Coordinates changes to the Project Control Document based on an approved DED. Facilitates evaluation of lessons learned and implementation of process improvements.
EDS CalWIN Project Manager	<ul style="list-style-type: none"> Provides Deliverable Submittal Letter. Oversees deliverable development, review, resolve and approval.
EDS CalWIN Team	<ul style="list-style-type: none"> Jointly develops Review Criteria and Review Aids. Produces deliverable meeting the requirements/specifications and format specified in the DED. Resolves all outstanding issues.
Process Owner (PMO)	<ul style="list-style-type: none"> Develops and executes plans for <i>Deliverable Development, Review, Resolve and Approval Process</i> improvements/upgrades as necessary.
Program Management Office (PMO)	<ul style="list-style-type: none"> Submits initial deliverable. Submits final deliverable.
QA Team	<ul style="list-style-type: none"> Conducts periodic Quality Assurance Reviews on the <i>Deliverable Development, Review, Resolve and Approval Process</i>.
Technology Services	<ul style="list-style-type: none"> Establishes and maintains the Comments Repository (see below and the associated database, and ensures a secure and recoverable environment.
WCDS CalWIN Management Team	<ul style="list-style-type: none"> Assigns initial deliverable for review. Owns approval activity.
WCDS CalWIN Project Manager	<ul style="list-style-type: none"> Oversees deliverable development, review, resolve and approval. Provides Deliverable Approval Notice. Provides Deliverable Non-Approval Notice (conditional).
WCDS CalWIN Team	<ul style="list-style-type: none"> Jointly develops Review Criteria and Review Aids. Ensures deliverable meets requirements/specifications. Validates deliverable for format and completeness. Provides comments and concerns on deliverable. Collaborates to resolve issues. Distributes deliverable to County Subject Matter Experts and tracks input from county.

Tools

Tools	Purpose
Comments Repository	<ul style="list-style-type: none"> To capture questions and concerns, and track their resolution.
Resolve Procedure Template	<ul style="list-style-type: none"> To provide starting point for procedure development.

Process Flow



Activities

1. Identify County Participants

Purpose	To identify county personnel with the appropriate knowledge and authority level to participate at various points in the process.
Description	<p>1.1 Develop Reviewer Matrix The WCDS CalWIN Team will develop an outline for the deliverable Reviewer Matrix, including sections for the interim reviews. Specific review participants will be determined later in this activity.</p> <p>1.2 Develop County Request for Information Based on the Reviewer Matrix and the Deliverable Expectation Document (DED), the WCDS CalWIN Team will create a County Request for Information outlining the skills, knowledge, and authority level needed of county participants at various points in this process.</p> <p>1.3 Send Packages to County CalWIN Manager The WCDS CalWIN Team will send the County Request for Information to the County CalWIN Manager. See <i>Communication with Counties Procedure</i> for more details.</p> <p>1.4 Track Replies to County Request for Information The WCDS CalWIN Team will track the replies received from the County CalWIN Manager. See <i>Communication with Counties Procedure</i> for more details.</p> <p>1.5 Update Reviewer Matrix The WCDS CalWIN Team will update the Reviewer Matrix for the deliverable with the names of actual review participants, including both County Subject Matter Experts and WCDS CalWIN Team members.</p>
Inputs	<ul style="list-style-type: none">• Deliverable Expectation Document (DED)
Outputs	<ul style="list-style-type: none">• County Request for Information• Reviewer Matrix
Agents	<ul style="list-style-type: none">• County CalWIN Manager• WCDS CalWIN Team*

Note: The agent identified with an asterisk () within each of the activity agent listings has the primary responsibility for ensuring the activity is accomplished.*

2. Develop Deliverable

Purpose To collaboratively develop the initial deliverable.

Description **2.1 Collaborate on Deliverable Requirements**

As per the *Requirements Management Process*, different techniques will be used to encourage collaboration. Examples include cross-functional teams, Joint Requirements Planning (JRP), and Joint Application Development (JAD) sessions. WCDS CalWIN Team members and selected County Subject Matter Experts (see Activity 1 – Identify County Participants) will participate in these sessions as needed. The guidelines, procedures, and participants will be specific to a given deliverable, as described in the DED. See the *Requirements Management Process* for more details.

2.2 Determine Review Criteria and Review Aids

Based on the deliverable requirements determined above and the DED, the EDS CalWIN Team and WCDS CalWIN Team will jointly identify the Review Criteria and Review Aids to be used during both Interim Reviews and the formal Review period.

2.3 Develop Initial Deliverable

The EDS CalWIN Team, based on the input from the WCDS CalWIN Team and County Subject Matter Experts, will develop the deliverable. While under development, the deliverable will be marked as “draft” so that participants in the Interim Review process (see activities below) are reminded that the deliverable is still under construction.

2.4 Distribute Interim Review Materials

The WCDS CalWIN Management Team will coordinate the distribution of the draft deliverable and associated Review Criteria and Review Aids to the WCDS CalWIN Team members identified as interim reviewers on the Reviewer Matrix. See *Communication with Counties Procedure* for more details.

2.5 Conduct Interim Review(s) of Deliverable

The purpose of Interim Reviews is to facilitate the approval of the final deliverable by affording the WCDS CalWIN Team, as identified in Activity 1, an opportunity to review the deliverable and provide feedback during the development phase. Interim Reviews also provide a means to evaluate the appropriateness of the Review Criteria and Review Aids. Several Interim Reviews may take place during the development of a deliverable. See the schedule section of the DED for specific details on the number and timeframes of Interim Reviews.

2.6 Monitor Interim Review Feedback

The WCDS CalWIN Team will compile the feedback received during the interim review. Due to the informal nature of an Interim Review, Interim Review comments will not be captured in the Comments Repository but by some other medium (i.e. spreadsheet).

2.7 Evaluate Interim Review Feedback

There is no formal resolution of the feedback received during Interim Reviews. The WCDS CalWIN Team will provide all feedback to the EDS CalWIN Team. The EDS CalWIN Team will evaluate the feedback to determine if any changes to the deliverable are warranted.

Inputs	<ul style="list-style-type: none">• Deliverable Expectation Document (DED)
Outputs	<ul style="list-style-type: none">• Deliverable (initial)• Interim Review Feedback• Review Criteria• Review Aids
Agents	<ul style="list-style-type: none">• County Subject Matter Experts• EDS CalWIN Team*• WCDS CalWIN Team

Note: The agent identified with an asterisk () within each of the activity agent listings has the primary responsibility for ensuring the activity is accomplished.*

3. Review Deliverable

Purpose	To verify that the deliverable meets the specifications in the Deliverable Expectation Document (DED) and Project Control Document (PCD).
Description	<p>3.1 Submit Initial Deliverable</p> <p>The Program Management Office (PMO) will submit the initial deliverable to the WCDS CalWIN Project Manager along with a Deliverable Submittal Letter.</p> <p>3.2 Distribute Deliverable for Review</p> <p>The WCDS CalWIN Management Team will coordinate the distribution of the deliverable and associated Review Criteria and Review Aids to the County CalWIN Manager, County Subject Matter Experts, and WCDS CalWIN Team members identified as reviewers on the Reviewer Matrix. See <i>Communication with Counties Procedure</i> for more details.</p> <p>3.3 Walk-through Deliverable</p> <p>Where appropriate and if indicated in the DED, a deliverable walk-through will be conducted to expedite the review process. The walk-through will outline how the deliverable maps to the DED and meets the appropriate requirements and specifications.</p> <p>3.4 Review Initial Deliverable</p> <p>During this step, the County CalWIN Manager, County Subject Matter Experts and WCDS CalWIN Team will validate the deliverable for format and completeness using the DED, Review Aids, and Review Criteria. Issues and concerns will be captured in the Comments Repository.</p> <p>3.5 Monitor Comments</p> <p>The WCDS CalWIN Team will monitor the feedback received from the county and request additional clarification if needed.</p>
Inputs	<ul style="list-style-type: none">• Deliverable (initial)• Deliverable Expectation Document (DED)• Review Aids• Review Criteria• Reviewer Matrix
Outputs	<ul style="list-style-type: none">• Comments Repository (updated)• Deliverable Submittal Letter
Agents	<ul style="list-style-type: none">• County Subject Matter Experts• EDS CalWIN Team• Program Management Office (PMO)• WCDS CalWIN Management Team*• WCDS CalWIN Project Manager• WCDS CalWIN Team

Note: The agent identified with an asterisk () within each of the activity agent listings has the primary responsibility for ensuring the activity is accomplished.*

4. Resolve Deliverable Issues

Purpose To resolve any issues and finalize the deliverable.

Description **4.1 Resolve Outstanding Issues**

All outstanding issues and comments must be resolved during this phase. The CalWIN Project Team will use the Comments Repository to track issue resolution and incorporate the resolved issues into the final deliverable. The EDS CalWIN Team and WCDS CalWIN Team will work collaboratively using the *Resolve Procedures* specific to this deliverable to resolve issues, including requests for additional clarification from comment owners. Resolution of a comment is defined as (1) Deferred to Future Phase, (2) Deliverable Changed, (3) Deliverable Correct, (4) Referred to Change Request or (5) Referred to Issue Management.

Inputs

- Comments Repository (updated)
- *Resolve Procedures*

Outputs

- Comments Reports
- Deliverable (final)

Agents

- EDS CalWIN Team*
- WCDS CalWIN Team

Note: The agent identified with an asterisk () within each of the activity agent listings has the primary responsibility for ensuring the activity is accomplished.*

5. Submit Deliverable for Approval

Purpose	To submit final deliverable and ascertain approval.
Description	<p>5.1 Submit Final Deliverable for Approval</p> <p>The Program Management Office (PMO) submits the final deliverable, along with the final Comments Report and Deliverable Submittal Letter, to the WCDS CalWIN Project Manager for approval.</p> <p>5.2 Approve or Disapprove Deliverable</p> <p>The approval process is owned by the WCDS CalWIN Management Team and concludes with a Deliverable Approval Letter submitted to the EDS CalWIN Project Manager by the WCDS CalWIN Project Manager. During this phase, the WCDS CalWIN Team will validate that the resolution of the review comments is satisfactory. . Based on their findings, the WCDS CalWIN Project Manager will either approve or disapprove the deliverable.</p> <p>If the deliverable is approved, the WCDS CalWIN Project Manager submits a Deliverable Approval Letter to the EDS CalWIN Project Manager and the next step in the PCD will commence.</p> <p>If the deliverable is not approved, the WCDS CalWIN Project Manager submits a Deliverable Non-Approval Letter to the EDS CalWIN Project Manager, including a single consolidated list of all errors found in the deliverable. The outstanding errors on the single consolidated list will be resolved in accordance with Section 3.2 of the Information Technology Agreement between the Counties and EDS and the deliverable resubmitted for approval.</p> <p>5.3 Publish and Distribute Final Deliverable</p> <p>Once the deliverable is approved, the PMO will publish the approved deliverable on the CalWIN Website.</p>
Inputs	<ul style="list-style-type: none"> • Deliverable (final) • Comments Report
Outputs	<ul style="list-style-type: none"> • Deliverable (approved) • Deliverable Approval Letter • Deliverable Non-Approval Letter (conditional) • Deliverable Submittal Letter
Agents	<ul style="list-style-type: none"> • EDS CalWIN Project Manager • Program Management Office (PMO) • WCDS CalWIN Team • WCDS CalWIN Management Team* • WCDS CalWIN Project Manager

Note: The agent identified with an asterisk () within each of the activity agent listings has the primary responsibility for ensuring the activity is accomplished.*

6. Evaluate and Refine the Deliverable Development, Review, Resolve and Approval Process

Purpose	To identify lessons learned (successes, problems, and opportunities for improvement), implement process improvements, and ensure institutionalization of the process.
Description	<p>At the completion of the process a review will take place to identify lessons learned and improvement that can be made to the process. The <i>Deliverable Development, Review, Resolve and Approval Process</i> will also be periodically reviewed according to the project's <i>Quality Assurance Plan</i> and using the <i>Quality Assurance Process</i>.</p> <p>6.1 Evaluate lessons learned</p> <p>Evaluation of lessons learned takes place at the completion of Activity 5 – Submit Deliverable for Approval. The EDS CalWIN Manager will conduct a post-process review to determine lessons learned and identify improvements that can be made to the process. The EDS CalWIN Manager will forward the lesson learned to the QA Team for inclusion in the QA tracking and reporting tools.</p> <p>6.2 Implement process improvements</p> <p>Implementation of process improvements is the responsibility of the Process Owner. The EDS CalWIN Manager will forward process improvements identified during the evaluation of lessons learned to the Process Owner for incorporation into the process.</p> <p>6.3 Review the process</p> <p>The QA Team will use the project <i>Quality Assurance Plan</i> and <i>Process</i> to periodically conduct a review of the <i>Deliverable Development, Review, Resolve and Approval Process</i>. QA reviews assure leaders that a project's activities and work products conform to the process, procedures, requirements, and standards. The review findings also identify nonconformance that may put future projects at risk. The findings are collected over time and used as input to future process improvement efforts. See the <i>QA Plan</i> and <i>QA Process</i> for more details.</p>
Inputs	<ul style="list-style-type: none">• <i>Deliverable Development, Review, Resolve and Approval Process</i>• Input from Individuals Involved in Process
Outputs	<ul style="list-style-type: none">• Lessons Learned• <i>Deliverable Development, Review, Resolve and Approval Process</i> (improved)• Quality Assurance Review Notice
Agents	<ul style="list-style-type: none">• EDS CalWIN Manager*• Process Owner (PMO)• QA Team

Note: The agent identified with an asterisk () within each of the activity agent listings has the primary responsibility for ensuring the activity is accomplished.*

Supporting Information

Usage and Tailoring Guidelines

In order to achieve the goals that were defined for this process, it is imperative that improvements are encouraged from throughout the CalWIN Project Team; but it is also imperative that these improvements are evaluated and implemented in a controlled manner. In order to accomplish this process, Activities 1 – Identify County Participants through 6 - Evaluate and Refine *Deliverable Development, Review, Resolve and Approval Process* must be performed. The *Deliverable Development, Review, Resolve and Approval Process* must be adaptable to the unique needs of the WCDS CalWIN Organization projects and their particular situations, but the purpose of each activity must be achieved, regardless of the tailoring.

Metrics

The product and process metrics that will be collected for this work element are described in the following matrices.

Work Product Metrics

Metric	Frequency	Responsibility	Location
Deliverable Expectation Document (planned) vs. Deliverable (actual)	Per Deliverable	EDS CalWIN Manager	
Number of First Time (through approval activity) Approved Deliverables	Per Deliverable	EDS CalWIN Manager	
Number of First Time (through approval activity) Disapproved Deliverables	Per Deliverable	EDS CalWIN Manager	

Process Metrics

Metric	Frequency	Responsibility	Location
Planned vs. Actual Duration: <ul style="list-style-type: none">• Develop Phase• Review Phase• Resolve Phase• Approve Phase	Per Deliverable	EDS CalWIN Manager	

Verification

The following items will be used as objective evidence that this process is being accomplished as documented:

- Comments Report
- Deliverable Approval Letter
- Deliverable Non-Approval Letter
- Lessons Learned
- Quality Assurance Review Notice
- Others as documented in the QA Team review criteria for *Deliverable Development, Review, Resolve and Approval Process*.